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ABSTRACT

This paper addresses the personal challenges academics face in successfully responding to the call for academic leadership, focusing on the organizational socialization process of a new dean. A 3-year qualitative case study of one dean is presented. It involved data from a personal daily journal of activities, beliefs, and reflections kept over 3 years; a record of daily schedules that documented each day's activities; a series of semi-structured, open-ended interviews conducted by an outside researcher; and documents of the events and challenges the college faces during the study period. Results indicated that incorporation of the new dean involved five predictable phases as he took charge (taking hold, immersion, reshaping, consolidation, and refinement). The paper examines six tactics used to assess the degree to which newcomers are formally socialized into their institution and position: individual versus collective, formal versus informal, sequential versus random, fixed versus variable, serial versus disjunctive, and investiture versus divestiture. Strategies for taking charge include writing an entry plan, building strong working relationships, establishing credibility, developing a leadership team, protecting scholarship interests, and treating the past with respect. (Contains 71 references.) (SM)

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The New Dean:

Taking Charge and Learning the Job

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The New Dean:
Taking Charge and Learning the Job

Academic leaders may be the least studied and most misunderstood management position anywhere in the America. The transformation to academic leadership takes time and dedication, and not all faculty make the complete transition to leadership. This study addresses the personal challenges academics face to successfully respond to "the call" for academic leadership.

The Call Without Leadership Training. To become an expert takes time. Studies of experts in the corporate world who attain international levels of performance point to the ten-year rule of preparation (Ericsson, Krampe, & Tesch-Romer, 1993). In the American university, seven years represents the threshold for faculty to attain the status of expert in order to achieve tenure and promotion at the associate professor level, and another seven years for full membership in the academy. If it takes seven to fourteen years to achieve expertise in our academic disciplines, why do we assume we can create an academic leader with a weekend seminar? Does the Ph.D. represent a terminal degree, almost like a terminal illness? Of the over 2,000 academic leaders I have surveyed, less than 10% have leadership development programs in their universities. As many of us have come to appreciate, we need a radical change in our approach to leadership development in higher education.

The Call Without Administrative Experience. The time of amateur administration is over. Department chairs, for example, often see themselves as scholars who, out of a sense of duty, temporarily accept responsibility for administrative tasks so other professors can continue with their teaching and

scholarly pursuits. Nearly 80,000 scholars in the United States currently serve as department chairs and almost one quarter will need to be replaced each year. Deans serve an average of six years and university presidents four years. We have already established that opportunities for individual skill development through training is woefully inadequate, but what are we doing to provide preparatory leadership experiences for our next generation of academic leaders? Even with systematic skill development opportunities available, if you ask managers where they learned their leadership abilities, most will tell you from their job experiences. In fact, a poll of 1,450 managers from twelve corporations cited experience, not the classroom, as the best preparation for leadership (Ready, 1994). One should not draw the conclusion, however, that formal training and education are of limited value. Academic leadership training, in combination with experience and socialization, can heighten a faculty member's appreciation for leadership and strengthen their motivation to develop leadership capabilities.

The Call Without Understanding Role Conflict and Ambiguity. Caught between conflicting interests of faculty and administration, trying to look in two directions -- academic leaders often don't know which way to turn. They promote the university mission to faculty and, at the same time, they try to champion the values of their faculty. As a result they find themselves swiveling between their faculty colleagues and university administration. In essence, they are caught in the role of "Janus", the Roman god with two faces, looking in two directions at the same time. While academic leaders don't have to worry about being deified, they do find themselves in a unique position -- a leadership role which has no parallel in business or industry (Gmelch & Miskin, 1993; 1995). To balance their roles they must learn to swivel without appearing dizzy, schizophrenic or "two-

faced." They must employ a facilitative leadership style while working with faculty in the academic core and a more traditional line-authoritative style with the administrative core.

The Call Without Recognition of Metamorphic Changes. Faculty spend, on the average, 16 years in their discipline before venturing into academic leadership (Carroll, 1991). After all these years of socialization, how do faculty make a successful transition into academic leadership? A national study of beginning academic leaders (department chairs and college deans) in the United States identified salient patterns that characterize the "metamorphosis" of faculty into administration. A shift from:

Solitary to Social--faculty typically work alone on research, preparing for teaching and other projects, while leaders must learn to work with others;

Focused to Fragmented--faculty have long, uninterrupted periods for scholarly pursuits, while the leader's position is characterized by brevity, variety, and fragmentation;

Autonomy to Accountability--faculty enjoy autonomy, while leaders become accountable to faculty in the department, college and central administration;

Manuscripts to Memoranda--faculty carefully critique and review their manuscripts, while leaders must learn the art of writing succinct, clear memos, policies and position papers "due yesterday;"

Private to Public--faculty may block out long periods of time for scholarly work, while leaders have an obligation to be accessible throughout the day to the many constituencies they serve;

Professing to Persuading--acting in the role of expert, faculty disseminate information, while leaders profess less and build consensus more;

Stability to Mobility--faculty inquire and grow professionally within the stability of their discipline and circle of professional acquaintances, while leaders must be more mobile, visible, and political;

Client to Custodian--faculty act as clients, requesting and expecting university resources, while the leader is a custodian and dispenser of resources; and

Austerity to Prosperity--while the difference in salary between faculty and administrator may be insignificant, the new experience of having control over resources leads the academic leader to develop an illusion of

considerable "prosperity." (Gmelch & Seedorf, 1989; Gmelch & Miskin, 1993; Gmelch & Parkay, 1999)

The metamorphosis from professor to academic leader takes time and dedication. Not all make the complete transition and, in fact, few department chairs become fully socialized into leadership.

The Call Without an Awareness of the Cost to Scholarship. Academic leaders try to retain their identity as scholars while serving in administration. Not surprising with 16 years of socialization in their discipline before entering administration, most academic leaders feel most comfortable and competent in their scholar role. In fact, 65% of department chairs return to faculty status after serving in their administrative capacity and, therefore, are wise to protect their scholarly interests. They express frustration at their inability to spend much time pursuing academic agendas. "Having insufficient time to remain current in my discipline" causes the greatest stress for department chairs and ranks third for deans (Gmelch & Burns, 1994). Most deans and department chairs would spend more time on their own academic endeavors if they could, but find it virtually impossible because of the demands of leadership duties. If we are to build a sustained leadership capacity within our universities we must address the issue of balance in the academic leader's life.

The transformation to academic leadership takes time and dedication, and not all deans and chairs make the complete transition to leadership. This study addresses several questions leading to how deans successfully make this transition to leadership.

1. What socialization process do academics go through to get settled into a new deanship?
2. What are the keys for successful entry into the deanship?
3. What critical events shape how academic leaders progress through these stages and how successfully they take charge?

4. What individual and organizational strategies and tactics are used to assist new deans complete a successful transition?
5. What are the surprises and challenges new deans face the first two years in their position?
6. What can new deans, universities and faculties do to make the transition period more successful and productive?

Study Design

The current ethnographic study of a dean was undertaken to investigate the organizational socialization process of a new dean and draw practical implications for institutions and individuals. The researcher began to seriously study the problems and challenges of dean transition for a very practical reason: He assumed an interim "inside" dean position in 1997 and accepted a "outside" dean position at another institution in 1998. In order to understand the stages of leadership transition and how deans adapt to their transition, this three year qualitative case study of one dean was undertaken. A number of data gathering techniques were used to comprehensively investigate this period of transition: a personal daily journal of activities, beliefs and reflections kept over a three year period; a record of daily schedules documenting each day's activities; a series of semi-structured, open-ended interviews conducted by an outside researcher; and documents of the events and challenges facing the college during the period of study. As of February, 2000, the documentation included 1,347 pages of transcriptions from the personal journal; 850 days of daily schedules; 120 pages of interview transcriptions; and several archive boxes of documents. All documents are currently being examined according to established methods of qualitative research.

This methodological approach, grounded in the interpretive perspective (Morgan, 1980) advocated by MacPherson, rests on the premise that to understand the socialization process it is necessary to "understand an administrator's sense of 'being an administrator' over time in terms of what

he or she does and his or her reflections on what is done" (1984, p. 60). Leadership scholars are strangely silent on the issues of leadership succession, at least from the leader's perspective (Sorenson, 2000). The interview procedure and intensive reflective diary permitted the dean to report on his routine and nonroutine activities as well as his perspectives, beliefs, and overall sense-making (Staton-Spicer & Spicer, 1987).

Entry into the Deanship

Even after the offer is accepted and the "new" dean comes to campus, this is only the beginning. Now that the new dean has the job, how will she or he begin the work? The incorporation of the new dean followed a predictable pattern similar to the corporate executives as they "took charge" of their new positions: (1) taking hold; (2) immersion; (3) reshaping; (4) consolidation; and (5) refinement (Gabarro, 1985). The following highlights characterize each of the phases of incorporation of the new dean (see Table 1).

Taking Hold: The First Semester. In the business world this stage lasted three to six months as it did for the new dean-- from summer arrival on July 1 until the end of the first semester in December. The semester started with the Dean's Convocation in August where he outlined his vision and values for the college and ended the semester with giving the commencement address at the college graduation. Ceremonially, these two bookends gave a beginning and end to his first semester. Between these bookends uncontrollable action and activity emanated from the new dean's inexperience with traditions, obligations and patterns of the academic year at the new institution as well as unfamiliarity with the faculty, staff, students, clients and other university administrators. Literally, his need to know the people and institutions as quickly as possible left him little option but to proactively schedule appointments to meet key stakeholders and reactively respond to requests for his time. An inspection of the dean's first semester's personal calendar revealed almost no discretionary time during the traditional office hours of the week, with 80% of the evenings and weekends

booked for the entire first semester. In fact, the first semester started with 20 consecutive evenings scheduled with social obligations and command appearances, continuing through the semester and culminating with 22 holiday party celebrations the last two weeks of the semester. Probably the biggest "surprise" for the new dean was the symbolic nature of his position, requiring his presence at university, college and departmental events.

In the first semester the dean also was flooded with requests for resources -- both in terms of his time and budget. Previously the dean's office was the place faculty went for additional resources so most faculty and staff wanted personal time to share their interests and "scope out" the new dean.

In general, the take-hold period was characterized by intense learning and uncontrollable activity. This arrival phase requires much learning on the part of a new dean. Cognitive learning focuses on rational interpretations (how things are done around here) and rationales that people construct (why things are done in a particular way). Sometimes this process is called sense making (Louis, 1980). The new dean continually asked why things were done a particular way, which challenged institutional assumptions and personal beliefs thus opening up discussion for innovation and discovery of different methods or strategies. While there was little knowledge base to make decisions he had to rely on advice from his staff and leadership team as well as gather original data in order to make decisions. Actions taken during the take-hold stage tended to be corrective and short-term interventions while learning the system.

Immersion: Into the Second Semester. Compared to the take-hold phase, the second semester appeared to be the quiet after the storm. Most faculty had become acquainted with the dean, fewer wanted individual appointments, and incidental changes in budgeting and resource allocation redirected the flow of funds and traffic through the departments. The daily schedules for the spring semester showed signs of open times for discretionary activities and time to acquire greater understanding of new

situations. More attention and time was diverted from the college to responding to central administration requests for budget hearings, annual reports and other university issues. This created a chance for more focused learning as the experience base grew and patterns started to emerge. Also, roots of the problems that cropped up during the first semester became more exposed during the second. Two new interventions also required immediate attention in the second semester: a new provost was appointed in December which started a new socialization process between the deans and provost office and the dean taught an undergraduate honors class which took preparation time and acclimation into the culture of student life.

During the immersion stage the dean started to question whether he has the right people in the right place. Some leaders and faculty formerly placed on pedestals, started to create some cracks in the dean's perception of the ivory tower. These cracks resulted in a sharper focus for change in the next phase of incorporation--reshaping.

Reshaping: Entering the Second Year. The "new" dean thought that after experiencing a full academic year, the number of activities and pace of the second year would stabilize, if not slow down. To his surprise he found himself still "booked" every evening for the first three weeks of the semester and engaged in weekend and evening activities throughout the fall term. Although not a typical cycle, the college also had to prepare for formal half-day visits from the president and provost as well as make a major presentation about the college to the entire university leadership council and the Board of Regents. Such high exposure and risk demanded extraordinary planning time, energy and action from the dean and his leadership team. The effect was a reshaping of the college for external marketing and accountability.

The actions demanded by these external opportunities to reshape and market the college caused a burst of activity equal to the first semester, but focused on some clear targets rather than fragmented activities. The

reshaping phase also involved altering some college processes, filling two interim department chair positions with permanent appointments as well as planning some structural shifts in the student services office and international programs. During this time another provost appointment (the third in the first 12 months for the new dean) required additional time for acclimation.

Reshaping ends when the new dean has implemented as much of his initiatives as circumstances allow. What now stands in the way, as it did in the case of the business executive incorporation, is the availability of personnel for key positions. This phase ended with searches for a new associate dean, a minority liaison officer, a person to fill the newly formed director of teacher education position, an international program director, and the lateral transfer of the student services director.

Consolidation: The Third Wave. The third and final wave of action occurs in the consolidation phase. The new dean's learning and action focused on consolidating and following through on changes contemplated during the reshaping phase. Learning in consolidation phase centers around two issues. First is identifying implementation problems (specifically, in the student services office and in the creation of minority recruitment and retention operation) and second in the unanticipated problems and consequences made during the reshaping and implementation phases (dealing with personnel changes and the subsequent fallout). Activity during the consolidation phase involved diagnosing problems, then correcting them. Finally, as Gabarro (1985) would have predicted, the new dean had to find ways to deal with plans that previously could not have been implemented. In this situation, the dean had to wait for the "right time" to hire a director from another college and to secure the resources from the provost office.

Refinement: From Honeymoon to Veteran Status. While the new dean predictably is still a few months from the end of this final phase of incorporation, certain aspects of the refinement phase have become apparent.

This is a time of little organizational change. It is when "executives have taken charge and their learning and actions tend to focus either on refining operations or on looking for opportunities in the marketplace. . ." (Gabarro, 1985, p. 116). Refinement marks the end of the incorporation stage. It is the point when the dean no longer feels new -- other deans or senior administrators such as the provost have been hired subsequent to the dean's arrival. Faculty and staff no longer speak of or refer to the dean as new. Problems in the college are not attributed to newness but are now "owned" and probably created by the dean. By the end of the second year, the dean has learned enough to shape the situations in the college and will be judged by the results of his actions. Enough time has passed for the dean to establish his credibility, power base and network of colleagues.

A summary of the five phases of incorporation is in Table 1, organized according to primary themes addressed by the new dean, the dominant leadership style and the new dean's psychological orientation during each of the phases. The new dean in this study felt "settled in" when he perceived that three conditions came together. First, he became *committed* to the institution and college, as indicated by a deep sense of pride in the university's accomplishments and new loyalty to the institution and his colleagues. Second, he gained a sense of *competence* in what he was doing. He understood the roles and responsibilities of the dean and felt he was competent in performing his duties. Finally, and only after 20 months in the position, the new dean felt *comfortable* with his faculty, staff and students, and confident in his role in the university, his place in his profession as a dean, and his role as a leader in the academic community. At this point a sense of calmness, personal control and confidence began to come over the new dean. At any time, critical events challenging the support of the college, the financial stability of the economy, the practice of the education profession, or mission of the college may interrupt and destroy this sense of calmness. The seasoned dean responds by learning and taking action, not as a newcomer, but based on experience.

What Makes a Difference in Dean Success?

A number of factors shape the time of the incorporation stage and whether the new executives are actually successful in "taking charge." Previously I have reported on the influence of inside versus outside candidates, rookies versus veterans, women and minorities versus men, and informal and formal socialization practices.[1] While these factors shape how deans progress through the incorporation phases, by themselves, none predetermines the success or failure of taking charge. However, other studies have identified "relationships with key people" as the key determinant of new executive success (Gabarro, 1985).

Leadership transition is not an easy process. It involves passing on knowledge, relationships, and power. Georgia Sorenson from University of Maryland discovered that "it is much easier to transfer knowledge and power than it is to transfer relationships. . . This continues to be the hardest part of the transition for me." (Sorenson, 2000, p. 140). John Gabarro discovered that the single most salient factor differentiating successful from failed transitions was the quality of the manager's working relationships by the end of the first year (1985). The underlying cause was the manager's inability to establish shared expectations with superiors and key staff members. Eventually without this common understanding, trust was breached in the first year and the managers could not get beyond the taking hold and immersion phases. On the other hand, in successful transitions, managers confronted problems by the end of the immersion phase and resolved them by either coming to agreement or parting ways.

New deans need to manage their "management molecule." Figure 1 portrays the five critical relationships they must pay attention to and manage successfully: (1) the boss -- the president and provost or academic vice president; (2) internal executive colleagues -- fellow deans, dean's office and

[1]Walter H. Gmelch, *Rites of Passage: Transition to the Deanship.* Paper presentation at American Association of Colleges of Teacher Education, February, 2000, Chicago, IL.

leadership team; (3) external constituents -- the clientele they serve; (4) their faculty colleagues; and (5) themselves. The dean must work at managing all five relationships, but never forgetting to serve the students. Most importantly, during the transition period deans need to manage themselves.

University Socialization Tactics

When academics move from their faculty role to an administrator within or between universities, they experience organizational socialization (Van Maanen, 1978). What part does the university play in guiding the successful transition of academics into administration? Each stage of the transition process presents different challenges for new deans and may be susceptible to the effects of different university socialization tactics. Deliberately or unconsciously, universities use a number of tactics to prepare academics to fill administrative roles. The decision to leave the socialization of newcomers to chance is, of itself, also a tactic. To what degree did the university use tactics to help socialize new deans?

Taxonomies of socialization tactics use paired comparisons of opposite extremes to provide a framework for socialization (Van Maanen and Schein, 1979). Six tactical dimensions of socialization are categorized into three strategic areas: context, content and sociality. Each of the six tactics, described as a bipolar process, are used to assess the degree to which the newcomers are formally socialized into their institution and position (see Table 2).

Learning the *Context* of the Deanship

1. Individual versus collective tactics: The new dean experienced individual socialization as he was the only new senior administrator entering the university at the time and was not processed collectively as would be a class of police recruits, new teachers or group of new administrators. A study of new department chairs resulted in a similar finding: all were processed singularly as opposed to being part of a larger group of newcomers (Staton-Spicer & Spicer, 1987).

2. Formal versus informal tactics: Formal tactics are used to put the newcomer through a set of learning experiences whereas informal tactics involve no formalized learning or training. Besides a general orientation meeting provided for all new employees on benefits and university services (of little value to the duties of the position), the dean was left on his own to learn new roles and ropes of the university through trial and error.

Understanding the *Content* of the Dean's Role

3. Sequential versus random tactics: In contrast to school principals who receive a given sequence of discrete and identifiable steps leading to their position through administrative certification or doctoral preparation, the dean experienced random socialization as the steps and desired role remained unknown, ambiguous and, at times, continually changing. In essence, no end state was defined nor any sequence of role learning specified.

4. Fixed versus variable tactics: This tactic refers to the amount of time it takes to become assimilated. A fixed tactic specifies a certain amount of time that will be spent in the socialization process such as administrative training and internships or first year teacher induction. In contrast, the dean experienced variable tactics with no time schedule that could be identified as to when a socialization process would end -- much less, formally begin.

***Sociality*: Knowing and Networking with Others**

5. Serial versus disjunctive tactics: When deans follow in someone's footsteps and strong role models exist, they experience serial socialization. In this case the dean was a newcomer from the outside and while he knew and had met all three of his predecessors, two were no longer in the university and the third, now 8 years removed from his tenure as dean, remained distant so as not to interfere. None provided what might be termed extensive grooming of the new dean. While stories and rituals of the previous dean are still a rich part of the college culture, they did not have a significant influence on the new dean's socialization. However, the new dean's associate dean,

who had served for over ten years as the associate dean for two of the previous deans, gave the new dean a guide to the university nomenclature, a sense of the university's and college's history and culture, and guidance on "how things are done around here." The absence of role models leaves the new dean more freedom to innovate but creates more ambiguity about the university culture and what is expected of deans. Consequently, it becomes a double-edged sword as predecessors give a sense of history but also may act as a constraining influence when innovation is needed.

6. Investiture versus divestiture tactics. Divestiture tactics seek to "deny and strip away certain personal characteristics of a recruit" (Van Maanen & Schein, 19790, p. 250). In contrast, the dean experienced investiture processes which reinforced his viability and usefulness to the university.

Organizations can design tactics using these features to achieve desired outcomes during the socialization process. While it is not apparent that the university used overt actions to socialize the new dean, the pattern of socialization that did occur reinforces role innovation. The most extreme form of innovation likely occurs through a socialization process which is individual, informal, random, disjunctive and involves investiture processes (Van Maanen and Schein, 1979). Thus, the new dean experienced socialization processes as similar to that received by other academic leaders (Staton-Spicer and Spicer,1987): individual, informal, random, variable, only moderately serial, and involving investiture. These characteristics of the new dean's socialization experience, the autonomy of colleges, and the infrequent informal interaction with the president's and provost's office provided, on the one hand, great flexibility in defining the dean's role and relationships, and yet, enough latitude to get lost if one didn't read the informal cues carefully.

Finally, in contrast to the transformation of faculty into department chairs identified earlier in this paper (p. 3), this new dean experienced a more complete metamorphosis into academic leadership as depicted in Table 3.

Strategies for Taking Charge

None of the above socialization influences -- context, content or sociality -- pre-determine the success or failure of the new dean. However, there are clear choices institutions and individuals need to make based on the outcomes they desire to achieve: reinforce conditions for status quo or create opportunities for innovation. An effective transition management program must deal with these transitions and the probable disorientation and isolation that may result. New deans may find that they can more successfully navigate their journey by following some strategies for taking charge. View the following not as comprehensive but as a list of strategies to take charge and learn the job.

1. *Write an Entry Plan.* During the "take hold" or "entry" phase of incorporation, develop a transition plan: a systematic set of interviews, initiatives, presentations, meetings and visits with key administrators, faculty and stakeholders (Jentz, 1982). This plan should outline contacts, issues, and initiatives that need to be completed in the first 90 days. In essence, the transition plan should be designed so that: (a) The new dean and faculty and staff get to know each other as fully as possible outside of daily problem solving and crises; (b) The college and new dean examine key issues in the college's past to make sense for how to operate in the future; (c) The new dean, provost and faculty identify challenges that need to be addressed; and (d) The new dean establishes how the challenges should be addressed, after consultation with faculty and central administration. For example, an entry design can be a written chart with timelines for carefully orchestrating a sequence of events in order to identify and interview key personnel, analyze college data, review college documents, and meet with university and

community individuals. The checklist of critical tasks to be completed within the first 90 days might include the following:

1. Write a transition plan outlining key actions and contacts that need to be made in the first 90 days
2. Spend time with the outgoing dean to get a lay of the land, and any land mines that may lie ahead.
3. Review the college strategic plan and other key documents and reports.
4. Review critical data about the college: fiscal, personnel, program, students, and so on.
5. Conduct sensing interviews of your key formal and informal leaders asking them for their goals, how they make decisions, what one thing the dean should do for them. . .
6. Introduce yourself and your philosophy through an opening semester convocation address--then ask questions and listen.
7. Examine the college budget, the university fiscal cycle and financial codes and restrictions.
8. Review state codes, laws and legal documents governing your college and programs.
9. Review the year's calendar of events and block critical times needing your attention and attendance. Create a tickler file of each month's key events to get a feel for the college's yearly rhythm.
10. Walk through your facilities with your custodian and emphasize the pride in a clean and safe building.
11. Review the university and college mission statement, five-year plans and goals for the upcoming year.
12. Know the university and college organizational chart and the key administrators and staff.
13. Spend time developing your staff and leadership team.
14. Know your student leaders.
15. Attend your college student orientation sessions to get to know the incoming students.

The list could go on (see Alvy & Robbins, 1998). Remember, a new dean only has *one* chance to make a *first* impression.

2. *Build strong working relationships.* John Gabarro in his study of 14 executives over a two to three year period found that "perhaps the single

most salient difference between the successful and failed transitions was the quality of the new manager's working relationship at the end of his first year" (1985, p. 119). The underlying problem stemmed from the new managers' failure to develop a set of shared expectations with their leadership team and superiors. Manage the five relationships in the management molecule (Figure 1).

3. *Establish your credibility.* What do people look for and admire in their leaders? The answer is credibility, according to Jim Kouzes and Barry Posner's latest research on leadership (1993). The results of their surveys of thousands of managers over the last decade have been strikingly consistent. People admire credibility -- those who are honest (truthful, ethical, and trustworthy), forward-looking (decisive and provide direction), inspiring (dynamic, uplifting, enthusiastic, positive, and optimistic), and competent (capable, productive and efficient). How do department chairs characterize a dean they would follow? In much the same way, our interviews of dozens of department chairs in the United States and Australia told us they work best when the dean: is encouraging; is accessible; is trustworthy; facilitates a positive relationship; shows confidence in chairs and department teams; and has a clear sense of direction and communicates it to others (Gmelch & Sarros, 1996). When department chairs and faculty view the dean as having these qualities, the dean is credible. However, credibility remains in the eye of the beholder; only the constituents--chairs and faculty--can bestow it upon deans.

4. *Develop your leadership team.* Effective executives build on their strengths and hire behind their weaknesses. The new dean in this study had the opportunity--and challenge--to hire an entire new leadership team including two associate deans and all four department chairs. His selections were critical as he had to build behind his weakness of being a newcomer to the dean position and the institution. Therefore he had to build a team strong in diversity in terms of experience in leadership, knowledge of the

college culture, multiple perspectives with respect to gender and ethnicity, representation across disciplines and departments, and contact with external stakeholders.

5. *Protect your scholarship interests.* Deans do not typically come into their position at the end of the road in scholarship. In fact, their identity typically is tied to their scholarship. One of the greatest fears of deans is that of becoming unknown in one's discipline as one's identity shifts from academics to administration. When the new dean asked the council of deans during his interview if other deans had time to engage in their personal scholarship, a pregnant silence filled the room. The deans blankly looked at each other to see who would go first. It was clear this question was one of the unspoken mysteries never shared. Responses ranged from teaching a one-credit honors class to maintaining membership on editorial boards and responding to guest columns or invited lectures and articles. In fact, a dean candidate the following year had indicated her interest in maintaining some type of scholarship a couple of days a week and the deans expressed surprise and indignation as there just isn't time to do a dean job well and still maintain one's scholarship. A retired dean with ten years tenure reflected: "Becoming a dean for me was 'scaling Mount Everest' (administratively) while still attempting to reach heaven (scholarly)" (Glasman, 2000, p. 146). In reality it is done through quiet bootlegging activities in the evenings and weekends. It is not only an issue of maintaining some type of scholarly productivity without jeopardizing the fiduciary responsibilities of the dean, but it is tied up in the entering identity of the dean.

6. *Treat the past with respect.* Never denigrate the past. Many new administrators, in their enthusiasm to create a new college, ridicule or put down old ways of doing things and in doing so create resistance for themselves because people identify with the way things used to be and thus feel that their self-worth is a stake or being questioned. In the same vein, administrators who speak of the way it was at their former institution are

indirectly criticizing the new institution and ignoring contextual differences without first understanding why things are they way they are. This is not to say that administrators who are tempted to denounce the past are not all wrong. The trick is to make a nonjudgmental distinction between what they are proposing and what has been done in the past.

7. *Prepare three envelopes.* A common story among new deans is about an outgoing dean who cleaned out the office but left just three envelopes in the top desk drawer, with the advice to the new dean that when you make mistakes, check the envelopes in sequential order. Naturally the new dean made a mistake early on and went to the drawer, picked out the first envelope labeled number one, opened it and it said: "You have been here a short time, do not worry, blame it on me, your predecessor." So the dean went back to the provost and blamed the situation on his/her predecessor. A few months passed and another mistake confronted the dean so he went back to the drawer and opened the second envelope which said: "Use the power of saying you are sorry." Clearly the dean at this phase had been in the position long enough that he owned the problem so he felt this was good advice and apologized to the provost for his transgressions. After a year, another major mistake occurred so he went back to his drawer and opened up the final, third, envelope, which said: "Prepare 3 letters." While amusing, this story does have a message about socialization, learning, taking charge, and the rites of passage of a new dean.

When the new dean opened his desk drawer the first day on the job he found one envelope with the following note inside:

> *Dear Walt:* *June 30, 1998*
>
> *I would like to wish you every success in your role as dean and may you find working at ISU as pleasurable as I did. The people here are great and I know that you will fit in just perfectly. . .*
>
> *Best wishes,*
>
> *Camilla*

As deans depart, George Allan, former Dean at Dickinson College, advises: "You should do for your successor precisely as you wish your predecessor had done for you" (Dickinson, 1999, p. 186). The departing dean should:

- Create a checklist of the immediate next tasks to be done;
- Provide a calendar and tickler file for the dean's yearly office cycle of responsibilities;
- Provide well-ordered files on faculty and departments, programs, and institutes under the dean's purview;
- Leave a detailed paper trail available for the new dean on all legally sensitive matters; and
- Gather together all the relevant institutional missions statements, planning documents, white papers, accreditation studies and other visionary documents.

Implications and Concluding Remarks

While the new dean in this study has not yet completed the incorporation phase of taking charge, several lessons can be learned from the experience of corporate successors in John Gabarro's study.

1. In general, comparison of failed and effective transitions found that front end work is critical in clarifying expectations with the bosses.

2. Effective successors kept their superiors informed, especially about changes they were proposing during the take-hold phase.

3. Successful managers were more aware of their limitations in skills and experience and compensated for them by engaging in learning activities and consulting their colleagues.

4. Taking charge took time and there were no quick fixes.

In addition, some implications are already evident from this study of the new dean's incorporation into the deanship.

5. Socialization of academic leaders in higher education appears to be left to chance. While this may be a strategy in itself, institutions must realize the impact socialization tactics have on the dean's propensity toward reinforcing the status quo or promoting innovation.

6. The new dean's phases of incorporation are similar to the executives' in terms of active learning and action orientation; however, the length of time and timing of each stage may be more predictably influenced by the academic calendar.

7. Both research and practice need to inform each other in the theoretical understanding of leadership succession and strategic practice of successful leadership.

The corporate sector informs us that there are three principal approaches to leadership education: individual skill development; strategic interventions that promote collective vision; and socialization of leaders values and visions (Conger & Benjamin, 1999). In higher education, the development of academic leaders is at a critical juncture. While the corporate world complains that they have simply progressed from the Bronze Age of leadership to the Iron Age, we fear that in higher education we may still be in the Dark Ages. It is our hope that inquiry into the academic leader's socialization sheds some light to help illuminate the Building Age of our leadership capacity.

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Table 1

Incorporation of the Dean:

Taking Charge and Settling In

	Phases of Incorporation				
	Taking Hold Summer & Fall Semester 1998	**Immersion** Spring Semester 1999	**Reshaping** Summer & Fall Semester 1999	**Consolidation** Spring Semester 2000	**Refinement**
Primary Themes	· Appoint team · Transition plan · Orientation & introductions · Establish values, style, expectation · Evaluation · Networking · Active learning · Corrective actions	· Personnel issues · Sense making · Establish work relations · Build leadership team · Routine learning · Learning routine · Budget development	· Personnel changes · Systemic actions – organization changes · University service · College image—GASing	· Coalition building · Corrective action · > University, < College visibility · Dean's scholarship	· New opportunities · Fine tune operation · Settling in
Dominant Leadership Style	Human resources	Structural	Symbolic	Political	Situational
Psychological Orientation	Confusion	Commitment	Competence	Confidence/ Comfort	Control?

Table 2

University Socialization Strategies

Context

Collective — Individual

Formal — Informal

Content

Sequential — Random

Fixed Time — Variable Time

Sociality (Roles)

Serial Role — Disjunctive Role

Divestiture — Investiture

Status Quo ← → Innovation

Table 3

The Metamorphosis of a Dean

From		To
Leadership		
Managing Tasks	⇨ ⇨ ⇨ ⇨ ⇨	Manipulating Symbols
Doing	⇨ ⇨ ⇨ ⇨ ⇨	Imagining
Fragmented	⇨ ⇨ ⇨ ⇨ ⇨	Focused
Professing	⇨ ⇨ ⇨ ⇨ ⇨	Persuading
Discipline Building	⇨ ⇨ ⇨ ⇨ ⇨	Coalition Building
Academic Emphasis		
Personal Autonomy	⇨ ⇨ ⇨ ⇨ ⇨	Institutional Responsibility
Student-Centered	⇨ ⇨ ⇨ ⇨ ⇨	Learning-Centered
Knowledge Creator	⇨ ⇨ ⇨ ⇨ ⇨	Information Broker
Manuscripts	⇨ ⇨ ⇨ ⇨ ⇨	Memo's, Policies, Positions
Social Orientation		
Personal Intimacy	⇨ ⇨ ⇨ ⇨ ⇨	Social Distance
Individual Reward	⇨ ⇨ ⇨ ⇨ ⇨	College Award
Autonomy	⇨ ⇨ ⇨ ⇨ ⇨	Accountability
Stability	⇨ ⇨ ⇨ ⇨ ⇨	Mobility
Professional Development		
Individual	⇨ ⇨ ⇨ ⇨ ⇨	Team
Self-directed	⇨ ⇨ ⇨ ⇨ ⇨	Other-directed
Conflict		
Self Interest	⇨ ⇨ ⇨ ⇨ ⇨	Community Interest
Identity		
Scholar	⇨ ⇨ ⇨ ⇨ ⇨	Leader
Specialist	⇨ ⇨ ⇨ ⇨ ⇨	Generalist
Local	⇨ ⇨ ⇨ ⇨ ⇨	Cosmopolitan
Balance in life	⇨ ⇨ ⇨ ⇨ ⇨	"Getting a life"

Figure 1

Managing the Dean's Management Molecule